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ABSTRACT

DESIGNED TO HELP SECURE FEDERAL GRANTS FOR EDUCATIONAL AND OTHER UNIVERSITY EXTENSION SERVICES TO COMMUNITIES, THESE STATE GUIDELINES FOCUS ON GENERAL PROGRAM OBJECTIVES AND ADMINISTRATIVE PROCEDURES, GRANT CRITERIA AND CONDITIONS, SPECIFIC APPLICATION INSTRUCTIONS (INCLUDING BUDGET PREPARATION), REVIEW AND AWARD PROCEDURES, AND RULES FOR FISCAL ADMINISTRATION OF GRANTS. APPENDIXES CONTAIN PRIORITY PROBLEM AREAS FOR FISCAL 1969, AND THE FORM FOR MAKING INSTITUTIONAL ASSURANCES TO THE WEST VIRGINIA STATE AGENCY FOR TITLE 1 OF THE HIGHER EDUCATION ACT OF 1965. (LY)

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
OFFICE OF EDUCATION

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ED035843

GUIDELINES FOR PREPARING APPLICATIONS FOR COMMUNITY SERVICE AND CONTINUING EDUCATION PROGRAMS UNDER TITLE I - HIGHER EDUCATION ACT OF 1965

1968-69

West Virginia University
Board of Governors
State Agency for Title I
Morgantown, West Virginia

AC006364

PART I - PROGRAM DESCRIPTION

A. GENERAL

Authorization

Authority for extension of Federal financial assistance for Community Service and Continuing Education programs is made possible through Title I - Higher Education Act of 1965 (P.L. 89-329).

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Allocations to States

Of the sums appropriated each year by the U. S. Congress, states receive a basic allotment of $100,000 (with the exception of Guam, American Samoa, the Commonwealth of Puerto Rico, and the Virgin Islands) plus an amount which bears the same ratio to the remainder of such sums as the population of the state bears to the population of all states. For the past three years, the nationwide appropriation has been $10 million, with the State of West Virginia receiving approximately $144,321.

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Administration of the Program

Like many Department of Health, Education, and Welfare programs, Title I is administered through a State Agency designated by the governor of each state, subsequent to an approved state plan. Such state plans set forth in detail the procedures which they will employ in carrying out the program and must be amended on an annual basis to the satisfaction of the U. S. Office of Education.

In West Virginia, Governor Hulett C. Smith designated the Board of Governors of West Virginia University as the State Agency and the West Virginia Commission on Higher Education as its advisory group.

As the chief administrative officer, Dr. Ernest J. Nesius, Vice President of Off-Campus Education, was appointed to act as liaison between the Board of Governors of West Virginia University, the West Virginia Commission on Higher Education, and the U. S. Office of Education. The State Agency thus serves as the focal point for all contracts, issuance of rules and regulations, processing of applications, development of programs, dissemination of information and day-to-day administration of the Community Service and Continuing Education program.

In exercising his authority under this designation, the State Administrator is guided by the West Virginia Commission on Higher Education. This commission furnishes a resource for the review and approval of all programs emanating from institutions of higher education, approval for annual amendments to the State Plan, as well as advice with respect to general policies and procedures.

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Title I focuses on utilizing the resources of colleges and universities to seek solutions to community problems in housing, poverty, government, recreation, employment, youth opportunities, transportation, health, and land use, in rural, urban, or suburban areas, with particular emphasis on urban and suburban areas.

The three general aspects of the Community Service and Continuing Education program for which support may be obtained are described below:

Objectives of the Program

A. Extension and Continuing Education: The enlargement and expansion of extension education programs of colleges and universities to meet the unique educational needs of adults. Instructional methods include, but are not limited to: formal classes, lectures, demonstrations, counseling and correspondence, radio, television, and other innovative programs of instructions and study organized at a time and geographic location that is especially convenient for the adult population to whom the program is directed. These programs assist the individual to fulfill his role in the world of work, to be an informed and responsible citizen, and to progress in his growth and development.

B. Educational Service: This part of the program involves use of the resources of institutions of higher education in educational programs or activities for persons who can take effective action to improve their education.

C. Educational Research: This is an experimental activity or demonstration using the resources of institutions to identify and develop new, expanded, or improved approaches to the solution of community problems.

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State Priority Problem Areas

Consistent with the broad guidelines stated in the above section, each state must establish priority problem areas on an annual basis which will provide the focus of programming during the ensuing fiscal year. For Fiscal 1969 emphasis, please review the problem areas set forth in Appendix A.

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Eligible Applicants

Institutions of higher education both public and private, including junior and community colleges, are eligible to receive Federal financial assistance to conduct and administer Community Service and Continuing Education programs provided that they:

1. are accredited by a nationally recognized accrediting association;

2. are not schools of divinity, departments or branches whose educational programs are specifically designed to prepare students to become ministers of religion, to enter upon some other religious vocation, or to teach theological subjects;

3. have demonstrated some previous competency in the program area selected, are in a closely related area of activity, or have shown active interest in developing a competency in the selected program area;

4. indicate a willingness to provide continuous programming through the period of time necessary to meet the objectives of the project;

5. indicate a willingness to apply the resources to the community problem at which the project proposal is aimed;

6. agree to cooperate with institutions providing similar educational services, and not duplicate a program area or geographical area included in other proposals approved or under active consideration;

7. exhibit a willingness to cooperate with and assist in the development of a coordinated state plan of educational services aimed at the solution of selected community problems;

8. agree to abide by the regulations of Title I and agree to provide fiscal accounting, progress reports, summary reports, evaluations and other information necessary to the carrying out of the provisions of this act;

9. assure the State Agency that proposed programs, activities or services are not otherwise available, that the activities or services are consistent with the institutions' overall educational programs and are of a nature as is appropriate to the effective utilization of the institutions' special resources and the competencies of their faculties;

10. assure the State Agency that when courses are involved, they will be college or university extension or continuing education courses fully acceptable towards an academic degree or of college level as determined by the institution offering such courses.

B. GRANT CRITERIA

Set forth below are the general criteria which will be applied in evaluation of project proposals and grant applications. Applicants should review these carefully

before developing projects for submission. Because of the broad scope of the act and the wide range of activities which may be considered for support, it is neither desirable nor possible to regard each item as a rigid requirement or policy. The following criteria should be viewed as guidelines defining those elements which will normally be required in projects selected for assistance:

Priority Problem Areas

Community service type problem areas of highest priority which are eligible to be funded are included under Appendix A (State Priority Problem Areas). Solutions are to be sought in these problem areas by educational-type methods such as continuing education.

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Relation to Federal Problem Areas

All projects submitted for approval must relate directly to one or more of the problem categories listed in the act authorizing expenditures of Federal funds under Title I of the Higher Education Act of 1965 as previously described in Part I (Objectives of the Program).

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After identifying a project within one of the problem areas specified above, priorities for approval will be established on the basis of extent to which:

1. the proposed project attacks an important problem;
2. significant impact on the problem is shown;
3. evidence is shown that careful planning was done based on established facts;
4. cooperative arrangements with other institutions of higher education have been arranged or attempted;
5. involvement of the community leaders and organizations in planning and implementation is demonstrated;
6. the project supplements, complements, or makes possible comprehensive high priority community problems;
7. the scope, boundaries, and anticipated impact on the audience expected to benefit from the project is detailed;
8. specificity is found in the goals; and
9. the funds requested do not replace or in any way substitute for other funds of the institution of higher education committed to similar purposes.

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Project Origination

Community Service and Continuing Education projects will be considered regardless of the source of origination provided they are sponsored by one of the approved institutions of higher education.

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Preference

Preference will be given to those projects which: (a) seek to develop or introduce new knowledge, techniques, and approaches to problems under consideration; (b) are action oriented, i.e. projects seeking to test or demonstrate ideas, to develop working prototypes or practical aides, or to activate change and improvement; (c) are designed to produce models or improvements having value or significance beyond their local impact; (d) have duration periods consistent with proposed solutions; (e) are of modest size in their request for State and Federal funds; (f) contemplate the responsible evaluation of results; (g) provide for follow-through activities with or without Federal funds; (h) have budgets reflecting moderate costs per participant.

C. GRANT CONDITIONS

The following conditions, in addition to any special conditions accompanying a Statement of Grant Award under the Act, are applicable and binding upon all grant recipients. Grantees should understand, and project applications indicate, that acceptance of an award and, utilization of funds provided under that award, commit the grantee to full compliance of these conditions as stated below and amplified in other portions of the guide:

Use of Grant Funds

Grant funds may be expended only for purposes and activities set forth in the approved project plan described in the grantees application and in accordance with the approved budget set forth in the application or otherwise accompanying the award notice. Any change in grant fund use must be approved by the State Administrator, and remaining funds unexpended at the termination of the grant period must be returned to the State Agency for Title I.

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Obligation of Grant Funds

Grant funds may not be obligated prior to the effective date or subsequent to the termination date of the grant period. Obligations outstanding as of the termination date shall be liquidated within 90 days after the termination date of the grant period. Such obligations must relate to goods or services provided and utilized within the grant period.

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Termination of Grants

The State Agency may with the approval of the Commission on Higher Education at any time, terminate any grant, in whole or in part. The grantee shall be duly notified of the decision to terminate and will be allowed a reasonable time, where feasible, to terminate project operation or seek support from other sources. No termination shall affect grant obligations or costs incurred prior to receipt of notice of termination, provided such obligations were incurred prior to receipt of notice of termination, were incurred in good faith and are otherwise allowable. Funds shall not be considered obligated solely by virtue of grantee commitments to participating agencies or project contractors for work or services not yet performed.

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Travel Expenses

Expenses charged for travel against grant projects shall not exceed those regularly allowed under established and consistently followed policies of the grantees.

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Expenses Not Allowable

Grant funds may not be expended for: (a) items not part of the approved budget or separately approved by the State Agency; (b) dues to organizations or federations; (c) entertainment, including luncheons, banquets, gratuities, or decorations.

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Written Approval of Changes

Grantees must obtain written approval from the State Agency for major project changes. These include: (a) changes of substance in project activities, design, or other plans as set forth in the approved application; (b) changes in the project director; or (c) professional personnel identified in the approved application; (d) changes in the approved project budget which contemplate a reassignment of funds and/or increases.

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Project Income

All interests or other income earned by the grantee with respect to grant funds or as a result of conduct or a grant project (sale of publications, registration fees, service charges or fees, and so forth) must be accounted for. Interest on grant funds and other income should be applied to project purposes or in reduction of project costs.

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Reports

The grantee shall maintain records and accounts consistent with generally accepted accounting principles and with sufficient accuracy and detail to enable it to prepare and submit grantee reports, certifications, and data required by the State Agency. The grantee shall submit the following reports to the State Agency:

A. Fiscal Report: Consisting of semi-annual and annual expenditures. In the case of State institutions utilizing state appropriated matching funds, quarterly reports must be submitted to the State Agency approximately two weeks prior to the close of the quarter.

B. Program Reports: Consisting of progress reports on a semi-annual basis and final reports on the completion of the project.

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Audits

The State Agency may inspect and audit the grantees accounts and records, or may designate a qualified person to do so on its behalf, at any time during reasonable business hours and with such frequency as it may deem necessary, including fre-award and grant commitment service to determine the adequacy of the grantee's grant-accounting system, and provide guidance as to the State Agency's requirements. Under the same conditions, the U. S. Office of Education or its representatives may make such audits as deemed necessary or warranted. Grant project records shall be maintained for at least three years subsequent to the completion of the total grant project or until final audit is completed.

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Publication

The grantee may publish the results of grant activity without prior review of the State Agency, provided that any publication (written, visual, or sound) contain an acknowledgement of community service and continuing education grant support. At least five copies of such publication must be furnished to the State Agency, except as otherwise requested or approved by the State Agency. Publication of documents or reports with grant funds beyond grant quantities required to meet standard report requirements must be provided for in the approved project budget or otherwise approved by the State Agency and, for large quantity publications, manuscripts must be submitted in advance to the State Agency.

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Copyrights

Where grant projects produce original books, manuals, films, or other copyrightable material, the grantee may copyright such, but the State Agency and the U. S. Office of Education reserves a royalty free, non-exclusive, and irrevocable license to reproduce, publish, translate, or otherwise use and to authorize others to publish, use, such materials. Where license is exercised, appropriate acknowledgement of the grantees contribution will be made.

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Patents

If any discovery or invention arises or is developed in the course of or as a result of work performed in a grant project, the grantee shall refer information concerning the discovery or invention to the State Agency, which will determine whether or not patent protection will be sought, how any rights therein including patent right will be disposed of and administered, and the necessity of other action required to protect the public interest.

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Third-Party Participation

No contract or agreement may be entered into by the grantee for execution or provision of services to a grant project, other than purchase of supplies or standard commercial or maintenance services which is not incorporated in the approved proposal or approved in advance by the State Agency. Any such arrangement shall provide that the grantee shall retain ultimate control and responsibility for the grant project and that the contractor or sub-contractor shall be bound by these grant conditions and any other requirements applicable to the grantee for the conduct of the project.

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Discrimination Prohibited

No person in the U. S. shall on the grounds of race, creed, color, or national origin be excluded from participation in, be refused the benefits of, or be otherwise subjected to discrimination under the grant, or any project or program supported by the grant. Grantees must comply in every respect with the provisions of Title VI of the Civil Rights Act of 1964 and regulations issued by the U. S. Office of Education thereunder as a condition of award and continued grant support.

PART II - APPLICATION FOR GRANTS

A. GENERAL

This section of the guide deals with application for community service and continuing education grants. Instructions and procedures are set forth for the guidance of those desiring to submit projects for assistance.

Familiarization With Grant Guide

Prospective applicants are urged to review and complete guide before attempting to develop a proposal. It is essential that applicants be familiar with the community service and continuing education grant criteria, the objectives of the program, and general rules and policies concerning grant application, review

and administration, to develop and present projects which can be considered for support. It is important also that when an application is presented it be complete and fully responsive to avoid delay in consideration or detract from an otherwise soundly conceived proposal.

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Planning Proposals With ICR's

Each eligible institution of higher education has designated a person to work in liaison with the State Agency for programming under Title I. In keeping with this designation, the State Agency will communicate with this person known as the Institutional Contact Representative and/or the president of the participating institution, relative to the submission and approval of proposals. Persons contemplating submitting proposals to the State Agency for funding should contact the Institutional Contact Representative concerning information on the priorities for programming established during each fiscal year.

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Selection of Project Personnel

Applicants are urged to give special consideration to the selection of project personnel and, in particular, the proposed project director. The success of any project, however well conceived, will depend upon the capability of those selected to conduct it and the State Agency will give heavy weight to this consideration in project evaluation. Normally, the specific identification of key project personnel will be expected in grant applications submitted for support.

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Grant Periods and Project Duration

The State Agency will accept proposals for projects which are of both long and short durations. However, all will be funded for a period not to exceed 12 months from a given fiscal year appropriation. Where projects are planned in various stages, the applicant should indicate this intent at the time he submits his initial proposal. Each stage in a continuing project must be written as a terminal project, employing the "building block technique" for moving to each subsequent stage. Continuing funding of projects will be predicated upon availability of funds and the extent to which projects remain germane to the needs of the State.

B. APPLICATION INSTRUCTIONS

Commencing July 1, 1968, the State Agency for Title I will discontinue the dissemination of specific forms to be used by institutions wishing to submit proposals for

funding. Henceforth, format to be used will be left to the discretion of the submitting institution, however, for review purposes, we are requesting that each proposal incorporate the information outlined below.

Cover Page

On the cover page of Title I proposals, include:

1. Short Title of the Project: This should be a brief descriptive title, normally not exceeding one typed line in length. Where the proposal is a revision or a continuation, the same title should be used as in the original submission.

2. Applicant Institution: List the name and address of the sponsoring institution and the department or other primary unit which will administer the project.

3. Cooperating Institutions: List the name and address of all institutions assisting in the conduct and administration of the project.

4. Project Duration: Show the length of the project in months, indicating the starting and ending dates. These dates should be inclusive of the time necessary for preparing materials, if needed, the selection of instructors, consultants, etc., and the time required for evaluation and reports.

5. Project Director: List the name, address, and title of the individual who will be in direct charge of the project.

6. Financial Officer: List the name of the person who will be responsible for fiscal matters relating to the project and in ultimate charge of accounting, management of funds, verification of expenditures, and grant financial support.

7. Funding: Indicate the amount of Federal funds requested, the State appropriated funds or institutional funds available, and the total cost of the project.

8. Official Authorized to Sign Application: List the individual authorized to enter into binding commitments on behalf of the applicant institution. He will normally be the Institutional Contact Representative and/or the president of the applicant institution.

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Project Contents

In developing the contents of the proposal, please include the following information:

1. The Nature of the Problem: Indicate the need to be met by the proposed project as precisely as possible, citing substantiating data such as reports, surveys, studies, etc., where possible and what has been done to resolve the problem.

2. Project Goals: Indicate what the project proposes to demonstrate or achieve.

3. Project Activity: Indicate as precisely as possible how the project will be executed, what design or method will be utilized in carrying it out, how often the activity will take place, where (on-campus or off-campus), and what faculty resources are involved. This should also include a description of the various stages or steps of the project, what will be done at each stage and estimated time intervals involved, how the work is organized and who will handle each element. In training projects, the method description should also include the type of training proposed, an outline of curriculum and the teaching methods and materials contemplated.

4. Cooperating or Participating Agencies, Organizations, Etc.: List all other groups who have helped in the planning of the project and who are willing or will participate in the execution of the project.

5. Audience to be Served: Describe the types of participants the project proposes to serve, such as low income groups, minority groups, teachers, social workers, county officials, etc., and indicate the anticipated number who will enroll. Where project activities are expected to have a multiplier effect, indicate the possible secondary beneficiaries.

6. Geographic Location: Indicate the number of counties, cities, etc. which this project proposes to serve, including the total population of the area. (e.g. Marion, Monongalia, and Preston. Population: 139,100).

7. Innovative Features of the Project: Describe, where possible, the new knowledge the project seeks to test or develop, or the new approaches which will be employed that might be transferred or utilized by other groups and/or communities.

8. Evaluation: Indicate what arrangements will be made to evaluate the project results, the methods and criteria to be used, and who will undertake it. If a questionnaire is to be used, what will it seek to ascertain? Where projects are action oriented, what follow-up is planned to determine whether or not the information imparted is being applied.

9. Future Plans: Indicate whether or not the project will be continued after the present funding period expires.

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Budget Preparation

In preparing the budget for a proposal, please make the following breakdown by categories of Federal, State, and/or institutional funds:

1. Project Staff: Indicate the present salary of persons to be employed, the amount of time to be spent on the project by percentages, and total number of months. Where private colleges are applicants, such services must be donated as institutional matching or compensated from Federal sources.

2. Consultants: Indicate the number of consultants to be used, number of days, the amount to be paid per day and the total. Consultant fees should be commensurate with fees normally paid by the institution for similar services to people with comparable qualifications.

3. Fringe Benefits: When fringe benefits are included as part of the budget, they should be computed only on project staff and should be consistent with such benefits customarily provided by the applicant institution.

4. Travel: Indicate anticipated cost per month and totals. Travel should be broken down by staff travel and consultant travel and should be consistent with the policies and procedures of the applicant institution.

5. Office Supplies and Consumable Supplies: Indicate the amount of funds which will be required per month and the total. These supplies should be limited to those which can be utilized during the life of the project.

6. Rental of Specialized Equipment: Indicate the cost per month, the number of months to be used, and total. Specialized equipment is construed to mean equipment which is essential to the conduct of the project and is normally not available at the institution. Tape recorders, record players, etc., are not considered to fall under this category by the State Agency.

7. Other Costs: Indicate the items, such as telephone, printing and publication, communications, etc. which are included under this category by cost per month and total.

8. Overhead: Overhead or indirect costs shall not exceed 15 per cent of the total direct cost.

9. Total Project Costs: Combine the overhead with the other program costs and indicate the total amount required to conduct the program. At the end of the budget, provide a breakdown of the non-Federal matching share by the amount of funds to be derived from participant fees, if any, and amounts from state or institutional sources.

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For State Institutions Only

10. Quarterly Budgeting: State institutions requesting state appropriated matching funds shall also provide a quarterly breakdown of anticipated usage of State funds by categories. Caution should be exercised in determining expenses during these periods as accurately as possible.

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11. Assurances: Please reproduce and attach at the end of the completed application, a copy of the assurances contained in Appendix B, properly completed by the individual authorized to sign the application.

Filing Dates

Deadlines for filing applications for Fiscal 1969 funding have been established as follows:

Submit by:	To Commence:
August 15, 1968	October, November, December, 1968
November 15, 1968	January, February, March, 1969
February 15, 1969	April, May, June, 1969
May 15, 1969	July, August, September, 1969

Programs may be submitted at any time prior to the above deadline dates, the earlier they are submitted the better.

Submittal of Applications

An original and four (4) copies of all completed applications should be mailed to:

State Administrator
Title I, HEA 1965
Room 109 Mineral Industries Building
West Virginia University
Morgantown, West Virginia 26506

C. REVIEW AND AWARD PROCEDURES

State Agency Processing

Applications received by the State Agency will be promptly acknowledged to assure the applicant that his proposal is in hand. At this point a preliminary check for completeness will be made and the applicant will be contacted if any omissions appear. Thereafter substantive review by the State Administrator's Representative will be undertaken based on the order in which applications are received by the State Agency. In the course of such review, questions may be raised requiring clarification or the furnishing of additional information, and where the project appears outside the scope of the program or otherwise doubtful of support, the applicant will be so advised. References to other Federally-assisted sources where appropriate may be made by the State Agency at this point.

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Review Committee

A review committee has been constituted to assist the State Agency in the review of proposals and to recommend priorities for funding. Applications in complete form, and otherwise within the scope and general priorities of the community service and continuing education program, will be forwarded to this committee. When the committee review has been completed, the resulting recommendations will be forwarded to the West Virginia Commission on Higher Education for final approval.

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Grant Award Action

Authority to make CSCE grants is vested only in the State Administrator and no prior evaluation, review, or consultation on proposed projects may be taken as indicative of ultimate disposition until he has taken final action. When the final award has been made, the applicant will be promptly notified and advised of any special conditions applicable to the award. Notice of disapproval will also be communicated with any explanation or special comment deemed appropriate.

PART III - RULES FOR ADMINISTERING GRANTS

A. GENERAL

Notification of Grant Award

The applicant will be notified of the approval of its grant in the form of a letter from the State Administrator. This is the official document evidencing the grant award and includes details such as the approved amounts, duration of the period of support, anticipated grantee share, and any special grant conditions. Where the statement contains a recommendation for support beyond the period indicated it should be understood that this will depend upon congressional appropriations, efficient use of grant funds, satisfactory progress in achieving project objectives and submission and review of an application for continued support. The statement is a basic reference document in the audit of project expenditures at the close of a grant period and a project director and financial officer should be familiar with the status of funds reflected in this letter. The grantee has no authority to make changes in the statement unilaterally. Any modifications must be requested in writing and will be reflected through issuance of an amended letter or other written confirmation by the State Agency.

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Grant Payment Procedures

Payment of grant funds will be made by check drawn in the name of the grantee and directed to the person designated as project financial officer in the grant application. As first payments are received, the grantee should keep in mind the prohibition against application of funds to services performed or expenses incurred prior to the grant commencement date. Where state appropriated funds are involved, funds will be received by the applicant institution from the West Virginia Commission on Higher Education.

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Grant Adjustment

Any adjustment in approved grants as set forth in the original grant application and statement of award should be requested in writing and, to become operative, must be approved in writing. Each time a change or adjustment is approved, a letter reflecting the changes and/or adjustments will be furnished to the grantee from the State Agency. In requesting an adjustment, the grantee should set forth the reasons and basis for the proposed changes and any other data deemed helpful for the State Agency's review.

B. FISCAL ADMINISTRATION

Project Fiscal File

Grantees are requested to establish a project fiscal file for each CSCE grant awarded. The file should include a copy of the grant application, the statement of the grant award, all grantee requests for funds, all project reports of expenditures, any amended statements of award, all grant adjustment notices issued, and copies of

all correspondence pertinent to project fiscal matters. These papers will provide a ready reference file for project directors and project financial officers to insure that expenditures are consistent with approved budgets, that prescribed fiscal procedures are being followed, and where applicable that funds requested for any continued grant period reflect a relationship to previous budgets for projects.

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Accounting for grant funds should be in accordance with the grantee institutions usual accounting practices, consistently applied, regardless of source of funds. Any generally accepted accounting system will be satisfactory, provided, however, that the following requirements are met:

A. Establishment of a separate account for each grant project with separate and specific accountability of receipts, expenditures, and balances. Such accounts should conform to or permit ready identification with CSCE grant budget categories.

Grant Accounting and Records

B. Identification of each grant account with the applicable CSCE award, e.g. by use of a suffix after the accounting title reading "CSCE grant number __". Separate accounts must be maintained for each annual period within the total grant period.

C. Maintenance of supporting records of grant expenditures in sufficient detail and itemization to show the exact nature of each expenditure. Such records should clearly indicate to which major budget category and sub-items within the category an expenditure is chargeable.

D. Referencing of each expenditure to a supporting purchase order, contract, voucher, invoice, or bill properly approved. Special voucher forms are not necessary since ordinarily the documents used by an institution to support expenditures from its own funds will be sufficient. Wherever possible, separate orders should be issued for purchases charged to grant funds in order that bills or invoices will not contain items charged to other funds.

E. Identification of the grant number, account number, date, and expense classification on invoices or vouchers charged against grant funds. Maintenance of payroll authorization to effect proper control on salaries and wages charged against grant funds. These authorizations should be approved by appropriate authority in the grantee institution.

F. Maintenance of payroll vouchers for salaries and wages. If payroll voucher forms are not used, a statement should be prepared at the end of each period showing the names of employees, gross amount of salary due each, and net amount paid. This statement should be verified by the project director, approved by appropriate authority in the institution, and used as a voucher.

G. Maintenance of adequate records supporting charges for fringe benefits, such as pensions, retirement, social security tax, and so forth, where included in project budgets.

H. Provision for payment by check. Cancelled checks should be on file for examination. When cash disbursements are made, they must be supported by receipts approved by appropriate authorities.

Financial records must be kept on file until the completion of the grant audit (including final resolution of any questions raised thereby) or for three years following the end of the grant period of a project whichever is later. The grantee may be requested by the State Agency to retain particular accounts, records, or supporting documents for a longer period than shall be expected to comply with any such requests. Effective grant accounting systems should also provide for adequate internal audits and the use of written policies and instructions defining accounting policies, procedures, and controls.

The administration of funds is the responsibility of the participating institution or agency which should designate the chief financial officer (business officer, comptroller, bursar, BTC) as the contracting official responsible for receipt, disbursement, and accounting for and reporting of all funds. When it is ascertained that the proposal, on the basis of which a grant is executed, contains a material misrepresentation by, or on behalf of an institution; or whenever an institution does not, after a reasonable opportunity, correct a substantial failure to comply with the conditions of agreement, such institutions shall return to the State Agency immediately all funds not actually expended or committed at the time such funds are requested. In the event that any part of the funds paid an institution are found to have been expended for purposes, or by methods, contrary to the conditions of the agreement, the institution in addition to any other requirements shall restore an equal amount to the State Agency.

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Costs which are clearly attributed to the operation of the project for which a grant may be awarded may include the following:

Project Costs and Budget Categories

A. Personnel Costs: Funds and rates of compensation authorized for the personnel category in the approved project budget are based on the staffing pattern proposed in the grant application. It is expected that personnel charges will adhere closely to this pattern with modification only when necessitated by project developments.

Salaries paid project personnel must conform to the established salary scale of the grantee institution for comparable duties and salary increments should be in accordance with established

institutional policies. In fixing compensation of consultants, grantees should seek to negotiate the most economical rates possible consistent with the level of services required.

Full-time employees of the Federal government are not eligible to receive compensation from project funds, including payment of honoraria or consultant fees. Travel costs for such employees including per diem may be paid when the services of such employees for advisory committees or other project duties have not been included in funds budgeted for the project. Travel costs may not be paid for any employee of the State Agency.

Adequate time records must be maintained for audit inspection to substantiate personnel costs charged to project funds.

Budgeted fringe benefits costs are allowable if they represent items made available to all employees of the grantee institution on a consistent basis (e.g. social security, workmen's compensation, health insurance, pension funds).

B. Operating Expenses: The travel category includes charges for both transportation and subsistence for personnel directly associated with the project when included in the approved project budget.

Subsistence in connection with grant project travel should be paid in accordance with the established travel reimbursement policies of the grantee institution as applied to all business and activities.

Travel

Wherever possible, coach or tourist accommodations should be used for air or rail travel. In the event that first-class accommodations are used, grantee records should contain a certification that less than first-class accommodations were not available. Subject to the foregoing and as in the case of subsistence charges, reimbursement for transportation costs should be in accordance with written, consistently applied grantee travel policies of the institution. Travel and transportation costs of families and dependents are not allowable project costs. Grant project funds may be charged only to travel performed within the grant period. Also, travel advances may not be charged to a CSCE grant until obligations or disbursements are made for the actual travel involved.

Reimbursement of travel expenses must be supported by vouchers containing the signatures of the individual performing the travel and the persons in the grantee agency authorized to approve such travel. Vouchers should show the starting point and destination of travel, dates of travel, and itemization of amount expended for transportation, and either receipts for hotel bills and any other receipts required by the grantee institution.

No stipends, travel expenses, and/or per diem may be paid to participants in the program unless expressly approved by the State Agency. Only in cases where such payments are deemed absolutely necessary for the success of the program will such authorization be granted.

Supplies, Communications, and Reproduction

Expenditures may be made only for supplies to be used during the grant period. Supplies purchased for use after the end of the grant period will be disallowed as a charge to the current grant. Reasonable deviation from budgeted amounts is permissible when necessitated by project development but the grantee institution will be expected to explain and request advance approval for substantial modifications. In general, supplies are considered to be items which are consumable, expendable, and of low unit cost.

Grant funds can be used to provide for routine project printing (including duplication and photographic reproduction of items such as forms, questionnaires, interview sheets, instructions, and summaries of data which will be needed for regular project operation).

Communications costs such as telephone, postage, and shipping expenses necessary to grant project operation are allowed. The most economical means of communications and distribution should be used consistent with project work schedules. In general, telephone charges should be limited to toll calls on direct project business. Installation costs and monthly base rates for new telephone wires obtained by the grantee institution may be charged only if necessary in the project operations and specifically mentioned in the approved project budget.

Equipment

Grant funds authorized in this category may be used for purchase of only those equipment items specified in the grant application provided that such costs shall not exceed ten per cent of the total Federal direct project costs. Requests for expensive equipment purchases, particularly, during a short (one-year) terminating grant period will not be approved. Where possible, equipment should be purchased by the institution and rented to the project.

Indirect Costs

To cover institutional expenses, an overhead rate not to exceed 15 per cent of the total direct cost of the project will be allowable in projects submitted for approval. Expenses for meeting places off-campus, where such places cannot be obtained free of charge, may be charged as direct costs. However, such costs should not be incurred whenever possible.

C. OTHER ADMINISTRATIVE REQUIREMENTS

Grant Extensions

If, because of unanticipated delay or other circumstances arising in the execution of a grant project, the grantee wishes to apply for an extension of the grant period, without requesting additional funds, it may do so by written request directed to the State Agency. Such a request should state the reason for the extension, indicate the additional time required, and should be received by the State Agency at least 30 days before the termination date indicated in the letter of approval. Additional funds may be committed to an existing program to carry out the original intent of the contract either before or after the termination date. However, the contents of a project may not be modified after the close of the fiscal year in which the funds were allocated to support.

. . . . . .

Grant Termination

The State Agency's discretionary right to terminate any grant as specified in the grant conditions will normally be exercised only where it has reason to believe that the grantee is mishandling grant funds or is unable to carry out the project properly or where anticipated continuation funds become available. In the event that the grant is terminated, the State Agency will notify the grantee in writing of its decision, specify the reasons therefore, and accord the grantee a reasonable time to terminate project operation or seek support from other sources. A grant which is prematurely terminated will be subject to the same requirements regarding audit, record keeping, and submission of reports as a grant which runs for the duration of the grant period.

. . . . . .

Grant Completion

Grants must be completed prior to the termination date set forth in the applicable letter of approval. Grantees should keep in mind the grant conditions prohibition on obligation of funds beyond such a termination date, the requirement of liquidation of obligation within 90 days after the termination date, and the requirement for the return of unobligated grant funds within such period.

APPENDIX A

PRIORITY PROBLEM AREAS FOR FISCAL 1969

In an attempt to provide direction for problem solving endeavors in West Virginia during Fiscal 1969, the State Agency has established three priority problem areas detailed below, on which proposals must concentrate to be eligible for funding:

I. Problem Area I - Decision-Making for Development and Organization in the Community

1. Major Problems:

   a. Lack of area and multi-community or regional planning for developmental purposes.
   b. Insufficient number of organized groups with a needed social purpose (volunteer and member-supported).
   c. Inadequate supply of standard housing.
   d. Unemployment and obsolete skills.
   e. Inadequate zoning codes.
   f. Cumbersome governmental structure.
   g. Prevalence of poverty.

2. Problem Area Statement:

   Proposals submitted in this category must demonstrate how the present planning and community organizations will be influenced by the activity proposed and/or how it affects the solutions to community problems.

3. Intra-problem Area Priorities (recommended):

First	Second
Housing	Health
Poverty	
Government	
Employment	
Transportation	
Land Use	

4. Illustrative Audiences:

   a. public officials
   b. planning commissions
   c. citizens advisory groups
   d. civic organizations

5. Illustrative Projects:

   a. Projects which assist state legislators in determining what is needed in constitutional revision, governmental reorganization and methods by which this might be obtained.

b. Informational and consultative services to local planning commissions to assist them in understanding the processes and techniques of planning.
c. Projects which will encourage the development of a system encouraging the construction of additional housing.
d. Projects which are designed to demonstrate new ways of utilizing manpower to provide new markets for skills and experiences.
e. Projects which are designed to induce community, economic, and social development.

6. Possible Relationships to Other Federal Programs:

In selecting this problem area, consideration should be given to the following programs with which Title I efforts will be coordinated:

a. Section 701 of the Housing and Urban Development Act of 1965
b. Section 703 of the Housing and Urban Development Act of 1965
c. The Economic Development Act
d. The Appalachian Regional Development Act
e. Title VIII of the Housing Act of 1964
f. The Mass Transportation Act
g. Title IX of the Demonstration Cities and Metropolitan Development Act
h. The Higher Education Facilities Construction Act
i. The Rent Supplement Program
j. Law Enforcement Assistance Act
k. Older Americans Act
l. Manpower Development Act

7. Authorized Title I Funds:

State	Federal	Institutional	Total	Percentage
$61,350	$60,867	$5,861	$128,078	44%

II. Problem Area II - Development of Progressive Attitudes in the Community

1. Major Problems:

a. Need for Constitutional revision
b. Defeat of enumerable school bond issues
c. Widespread apathy on major problems
d. Upsurge of civil rights ordinances
e. Distrust of public officials
f. Dismal outlook for Appalachian road bond referendum
h. Drop-outs
i. Health Needs

2. Problem Area Statement:

Proposals submitted in this category shall be educational programs and/or activities designed to develop progressive attitudes toward constructive changes.

3. Intra-Problem Area Priorities (recommended):

First	Second
Housing	Health
Poverty	
Government	
Employment	
Youth Opportunities	
Transportation	
Land Use	

4. Illustrative Audience:

a. public officials
b. advisory boards and commissions
c. officers of civic organizations
d. disinterested citizens
e. general public of the community

5. Illustrative Projects:

a. Projects which direct themselves to issues involved in constitutional revision.
b. Projects which serve to clarify various ramifications of bond issues.
c. Projects designed to provide understanding of the governmental processes, duties, and responsibilities of the citizenry.
d. Projects which relate to the causes of poverty and possible solutions.
e. Projects which stimulate citizen interest in the major problems.

6. Possible Relationships to Other Federal Programs:

a. The Economic Opportunity Act of 1964
b. Educational Programs under the U. S. Department of Health
c. Civil Rights Act of 1964
d. Others.

7. Authorized Title I Funds:

State	Federal	Institutional	Total	Percentage
$24,540	$24,347	$2,344	$51,231	18%

III. Problem Area III - Planning for Improved Educational Services in the Community

1. Major Problems:

a. Lack of up-to-date knowledge on planning for comprehensive educational programs.
b. Lack of knowledge on planning school facilities.

c. Need for close community-school relationships and mutual dependence.
d. Need for adequate educational services for the low-income and disadvantaged.
e. Need for adult education and vocational training.
f. Need for teacher refresher courses.
g. Need for more modern educational technology in the school systems.
h. Need for up-dating school board, county and school officials.

2. Problem Area Statement:

Proposals submitted in this category must concentrate on facilities, curricula, equipment, personnel, and/or the organization of the educational system to vastly improve the educational services needed to advance the progress of a community or multi-community society.

3. Intra-Problem Area Priorities (recommended):

First	Second	Third
Poverty Government Employment Youth Opportunities	Health	Transportation

4. Illustrative Audience:

a. school boards, school and county officials
b. community organizations
c. teachers
d. citizens groups, PTA's, etc.
e. agency workers concerned and closely related to the problem

5. Illustrative projects:

a. Conferences and follow-up activities on modern educational planning.
b. Training courses for agency workers.
c. Development of an "ideal" educational program for the community described in the problem.
d. Projects designed to significantly raise the percentage of young people completing their school years (e.g. 12, 14, 16, 17, 19).
e. Projects which are designed to further the utilization of school facilities by the community.
f. Projects which propose to develop special course material as teaching units.
g. Projects which involve the disadvantaged or low-income in educational planning.

6. Possible Relationships to Other Federal Programs:

a. The Elementary and Secondary Education Act
b. The National Teacher Corps
c. Title IV of the Higher Education Act of 1965, as amended
d. The National Defense Education Act

e. Vocational Education Act
f. Arts and Humanities Act
g. Others

7. Authorized Title I Funds:

State	Federal	Institutional	Total	Percentage
$36,810	$36,520	$3,516	$76,846	27%

APPENDIX B

ASSURANCES

_____* assures the State Agency for Title I of the Higher Education Act of 1965 that:

a. it will comply with the regulations under Title VI of the Civil Rights Act of 1964, and has filed the appropriate "assurance of compliance forms" with the U. S. Office of Education.

b. during Fiscal 1964-65 $_____ was available and expended by this institution for community service programs and that during the current fiscal year $_____ is available for community service programs, exclusive of those funded under Title I.

c. this program is not otherwise available.

d. this program is consistent with the institution's overall educational program and is of such a nature as is appropriate to the effective utilization of the institution's special resources and the competencies of its faculty.

e. if courses are involved, such courses are extension or continuing education courses and that they are fully acceptable toward an academic degree or, that they are of college level as determined by this institution.

f. it will provide fiscal accounting, progress reports, summary reports, evaluations, and other information necessary for the carrying out of the provisions of this Act.

ERIC Clearinghouse
FEB 12 1970
on Adult Education

_____
Signature

_____
Title

*Name of Institution